



RECORDS RETENTION SCHEDULE



Prepared by
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Public Records Division
Kentucky Department for Libraries and Archives

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor, Office of the
Budget Director, Office of the State
Policy and Management, Office for

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
00312	Budget of the Commonwealth (As Enacted)	This series documents budget information for each state agency within state government and represents the official budget of the Commonwealth of Kentucky. Each agency, with help from advisors employed by the Governor's Office for Policy and Management (GOPM), submits a proposed budget to GOPM every two years. GOPM staff review the proposed budgets and suggest changes if necessary. Once this stage of the budget process is completed, the proposed budget (Executive Budget-04161) is sent to the General Assembly for approval. In the General Assembly this budget can be approved as is or modified, then approved. Once the proposed budget is approved, it becomes the official operating budget for these state agencies.	Cabinet Name; Department Name; Budgeted (FY); Requested (FY); Enacted (FY); Source of Funds; General Fund; Regular Appropriation; Restricted Agency Funds; Balance Forward; Current Receipts; Non-revenue Receipts; Total Restricted Agency Funds; Federal Funds; Balance Forward; Current Receipts; Total Federal Funds; Total Funds; Expenditures by Class; Personnel Costs; Operating Expenses; Grants, Loans or Benefits; Capital Outlay; Total Expenditures; Expenditures by Unit; Total Expenditures; Description; Changes	Agency: Permanent	Records Center: NA	Archives Center: Permanent
				Retain one copy in agency. Forward three copies to the Publications Section of the Public Records Division when issued.		
00313	Capital Construction Closed Project Folders (V)	This series documents the budget history of each capital construction account established for each capital construction project. As each project proceeds, copies of fiscal documents, which involve the Governor's Office for Policy and Management (GOPM), are included in this series. GOPM approves the secretary's orders, approves funding for the project, puts money into the accounts and monitors how money is spent. Each record is used within GOPM for fiscal management of the particular capital construction account. Finance and Administration Cabinet, Division of Engineering, has a capital construction file which may include budget information. This file contains a complete budget history of each project. A capital construction project is a project which exceeds \$50,000 in costs.	Facts on source of funds; Advice of allotment; Secretary's orders; Journal vouchers; Correspondence; Summary of Projects; Requests for funds	Agency: Indefinite	Records Center: NA	Archives Center: Permanent
				Transfer to the State Archives two years after project closure		

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00314	Capital Construction Report (V)	This series documents a complete listing and summary description of every capital construction project active as of June 30 of each year and lists projects closed during same fiscal year. The report is mandated by KRS 45.760 (13) and became law in 1982. In 1980 there were two reports completed but none for 1981. This report represents a summary of all capital construction projects.	Status of project; Estimated project cost; Title; Account number; Year; Current phase; Estimated completion date; Total allotment; County code; Total allotment required; Expenditures to date; Description of available funds; Lists of projects closed during the year; Change in annual report; Additional information	Agency: Indefinite	Records Center: NA	Archives Center: Permanent Transfer to the State Archives Center two years after project closure
00319	Budget Analyst/Policy Advisor Files	This series documents information gathered by budget analysts and policy advisors when helping assigned agencies prepare their budgets. Each analyst and advisor, employed by the Governor's Office for Policy and Management, is assigned a specific agency in which to provide assistance in completing their budget proposals before being sent to the General Assembly for approval.	Budget work papers: budget requests, correspondence	Agency: 4 Years	Records Center: 6 Years	Archives Center: NA Transfer to the State Records Center
00320	Emergency Maintenance and Repair Report	CLOSED SERIES - This series has not been created by the Governor's Office for Policy and Management since 1984. There is one box stored at the State Records Center with a destruction date of December 1993. This report was used to list additions and reductions in agency accounts and the nature of each emergency maintenance and repair done on state property. An example would be a roof leak repair. Once destroyed this series can be deleted.	Date; Fiscal year; Agency name; Project name; Nature of repair; From account; Subtotal; Balance; Additions; Reductions; Amount (cost of repair)	Agency: 4 Years	Records Center: 5 Years	Archives Center: NA Transfer to the State Records Center
00323	Request for Allotment	This series documents appropriations and allotments for the fiscal year by cabinet, department and program level for each quarter. The request for allotment establishes the amount of money, for each account, an agency can spend during that fiscal year. The agency must follow the requirements set forth in the Budget of the Commonwealth (00312). The request for allotment form is completed by each agency and returned to the appropriate policy analyst for review. The policy analyst will then approve, disapprove, and/or modify the request.	Form number; Cabinet; Department; Fiscal year ending; Page number; RA; Appropriation account number; Month; Year; Fund; Project; Object; Appropriation amount; Program title; Allotment account numbers; 1st quarter; 2nd quarter; 3rd quarter; 4th quarter; Total; Tran code; Program totals; Source of funds; Signature of Cabinet Head and date; Signature of Policy Advisor and date; Approved Governor's Office for Policy and Management and date	Agency: 2 Years Destroy	Records Center: NA	Archives Center: NA

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00324	Advice of Allotment Adjustment	This series documents the movement of money from one account to another for each state agency. When funds are needed in a specific account, such as personnel account, money may be transferred from another account, such as operating expense account, to the personnel account by using this form. The agency requesting a transfer must submit the request in writing to the Governor's Office for Policy and Management. This form will document the increase in one account and the decrease in the other.	Form number; Fiscal year; Date; Cabinet; Increases; Appropriation account number; Department; Program title; Decreases; FMO; Tran Code; Fund; Allotment account number; PGM/PROJ; Object; QTR.; Amount; Total; Approved; Date; Audit reference; Explanation	Agency: 2 Years Destroy	Records Center: NA	Archives Center: NA
00325	Journal Vouchers and Correspondence	This series documents the movement of cash from one account to another for each state agency. Cash would include money received from grants, agency receipts, or money received from sources other than the general fund. The journal voucher would document, by account number and program level, the money received by each cabinet and department. The process is started by a memo from the agency to the Governor's Office for Policy and Management requesting a cash transfer.	Journal Voucher - fiscal year, JV number, vendor number, tran code, fund, cabinet, department, pgm/proj, object, division, branch, section, unit, function, location, subsidiary, trans type, doc reference, dr amount, cr amount, vend suffix, major project, budget unit, agency object code, invoice number, org. index, grant number, gr fy, sub gr, prepared by, approved by, comments, audit reference; Memo from agency	Agency: 2 Years Destroy	Records Center: NA	Archives Center: NA
00326	Necessary Government Expense File	This series documents appropriation increases from the General Fund Surplus Account for agencies that have necessary government expenses. A necessary government expense includes money needed for a life insurance fund for policemen and firemen who die in the line of duty, small lawsuits filed against the state, or to hire attorneys to serve as guardian ad litem. Money is appropriated for these expenses in the budget, but if the amount of money appropriated runs short, then it becomes a necessary government expense and money is taken from the General Fund Surplus Account. The General Fund Surplus Account is used to hold the money until needed.	Necessary Government Expense request; Executive Orders; State Planning Fund; Judgments; Purchase Order; Authorization for Payment; Action; Death Certificate; Marriage Certificate; Autopsy report; Guardian ad Litem forms	Agency: 5 Years Transfer to the State Records Center. Destroy after audit	Records Center: 5 Years	Archives Center: NA
00327	Budget Workpapers - State Budget	This series documents the official record of the internal biennial budget process for state agencies. As policy analysts and advisors help agencies prepare their budgets, certain documents become official records of the budget process. This series represents the official budget workpapers, whereas series 00319, Budget Analyst/Policy Advisor Files, represents the individual policy analyst and advisor working files. This series is used to interpret budgetary decisions.	Budget request forms; Personnel data; Letters and memoranda from agencies; Miscellaneous analysis forms which were used in analyzing and preparing the Executive Budget	Agency: 4 Years Transfer to the State Archives Center	Records Center: NA	Archives Center: Permanent

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04163	Appropriation Revisions	This series documents appropriation increases or decreases in each agency's budget by cabinet, department, appropriation, and program level. Appropriation revisions are made when an agency receives new money during the year and wants authority to spend it. The appropriation would increase when the new money is included in an account. It would decrease if taken from one account and put into another. The revisions are sent to the General Assembly's Appropriations and Revenue Committee for approval. An appropriation is the amount of spending authority each agency has.	Appropriation request; Related correspondence	Agency: 2 Years	Records Center: 2 Years	Archives Center: NA Transfer to the State Records Center

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04162	Executive Information System (EIS)	<p>This series documents appropriations, allotments and expenditures of the state operating budget. This system was implemented in response to legislation passed in 1988 which mandated that financial and budgetary information be made available on a continuous and timely basis. The system provides summary level information in a way that is meaningful for analysis and decision making support. It provides a graphical user interface which can be operated by non-technical users. The data for the budget application is extracted from the Statewide Accounting and Reporting System (STARS) (NOS) and is manipulated on the state level computer (mainframe). This systems allows financial analysts to gather information without requiring them to have expertise with STARS. It provides accounting data in graphical form, shows changes over time, allows data to be extracted and downloaded to desktop computers for use in spreadsheets. The system has a worksheet feature which allows the accounting data to be manipulated for projections and trends. The Legislative Research Commission has direct access to this system via the state mainframe.</p> <p>*System has only been in use for one year.</p>	<p>CHANGING DATE; NOTES; WORKSHEET; RETRACE; PAPERCLIP; CROSS SECTIONAL; UTILITIES; ORIGINAL APPROP; INCREASE ORIGINAL APPROP; DECREASE ORIG APPROP; CARRY FWD APPROP; CLOSE CARRY FWD APPROP; ALLOT. 1st, 2nd, 3rd, 4th, OF ANNUAL; INC. 1st, 2nd, 3rd, 4th, QUARTER ALLOT; CORR. 02 ALLOT C/F; DEC. QUARTER ALLOT; REC. DUE FROM OTHER FD; ENC MOD INFO ELEM; REEST ORIG ENCUM; LIQUIDATE ENCUM.; ORIGINAL ENCUM.; INCREASE ENCUM.; DECREASE ENCUM.; EXPENDITURES/ENC LIQ; STRAIGHT EXPEND; ADJ EXP/ENC LIQ; ENC DECR; TRANSFERS IN/OUT; PAY DUE TO OTHER FD; ENC/LIQ BY JV; REFUNDS FROM VENDORS; EXP REIMB-PYMT ERROR; ADJ EXPEND JV ONLY; EXP ENC/LIQ ON I/A; PAYABLE TO OTHER GOVT; INT SRVCE FND BILLING; INT SRVCE FND CREDIT; OPERATING TRNSF OUT; OTHER FIN/USES ALLOT; DEC FIN/USES ALLOT; PAYROLL LABOR DISTR; PAYR REIMB-AGNCY FND; INC PRIOR YEAR EXP; DEC PRIOR YEAR EXP; INDIRECT COST PAID</p>	<p>Agency: Records Archives 2 Years Center: Center: NA NA</p> <p>Delete from system information that is two years old</p>		

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04161	Executive Budget (Proposed)	This series represents the proposed working budget for state government which is sent to the General Assembly for final approval. KRS Chapter 48 along with House Bill 640 provides the requirements for the executive budget to be submitted to the General Assembly. Once the proposed budget is completed by each agency and reviewed by the Governor's Office for Policy and Management, it is sent to the Legislature for passage. Once passed, it becomes the Budget of the Commonwealth (00312).	Cabinet name; Department name, Budgeted, Requested, Enacted for fiscal year; Source of funds; General fund; Regular appropriation; Restricted agency funds; Balance forward; Current receipts; Non-revenue receipts; Total restricted agency funds; Federal funds; Balance forward; Current receipts; Total Federal funds; Total funds; Expenditures by class; Personnel costs; Operating expenses; Grants, loans, or Benefits; Capital outlay; Total expenditures; Expenditures by unit; Total expenditures; Description; Changes	Agency: Permanent	Records Center: NA	Archives Center: Permanent
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